Demographic Detail Transmittal Form (U5605)

In order to comply with the federal reporting requirements, the University of California uses the demographic data transmittal form (U5605) to record the race/ethnicity, disabled status, and veteran status of employees. At UC Berkeley, that data is input into HCM.

The new form invites employees to share their race/ethnicity in two ways:

1) In section 1A of the form, employees may make multiple selections to satisfy new US Department of Education, Integrated Post Secondary Education Data System (IPEDS) requirements.
2) In section 1B the employee is asked to make a single ethnicity selection for Affirmative Action Program reporting.

New employees are asked to complete the U5605 "Demographic Data Transmittal" on which they are asked to self-identify their ethnicity and race by completing Sections 1A and 1B of the form.

Information from the U5605 is entered into the "Demographic Details" tab on Personal Information page in HCM.

For more background and details about this form, visit the following UCOP website http://atyourservice.ucop.edu/administrators/employment/emp_dmo.html. Remember that implementation at UC Berkeley is different since we make entries via HCM rather than directly into PPS.
Questions and Answers

1. Why are the changes taking place?
The University of California is required to provide race and ethnicity of employees to the US Department of Education (DE) through the Integrated Post Secondary Education Data System (IPEDS) on a regular basis, in a specified format and using specified codes.

In October 2007, the DE provided final guidance on how postsecondary education institutions will collect and maintain race and ethnicity data on students and employees, and how those data will be aggregated for reporting to IPEDS. The standards for the classification of race and ethnicity data are the same as those issued by the Office of Management and Budget (OMB) in 1997.

The IPEDS changes to the standards have introduced new codes, increased the number of data elements to be collected, changed the manner in which responses on demographic forms are to be recorded, and modified the categories in which aggregated data is to be submitted. Institutions must be in compliance with the new race and ethnicity data collection and reporting requirements by the fall of 2010.

2. What are the consequences for noncompliance with IPEDS?
The completion of all IPEDS surveys, in a timely and accurate manner has been mandated by the federal government for institutions that participate in or are applicants for participation in any federal student financial aid program (such as Pell grants and federal student loans) authorized by Title IV of the Higher Education Act of 1965, as amended (20 USC 1094, Section 487(a) (17) and 34 CFR 668.14(b)(19)). Penalties for non-compliance with completion of all surveys may include fines and temporary loss of Title IV funding.

3. How does the U.S. Department of Education define ethnicity and race?
According to the U.S. Department of Education, ethnicity is a term which represents social groups with a shared history, sense of identity, geography and cultural roots which may occur despite racial difference. Race is defined as a human population considered distinct based on physical characteristics.

4. How will race and ethnicity data be collected and reported with the introduction of the new standards?
For collection purposes, the guidance requires the use of a two-question format. The first question must ask if the respondent is Hispanic or Latino, and the second question must ask the respondent to select one or more races. The race categories to be used are: (1) American Indian or Alaska Native; (2) Asian; (3) Black or African American; (4) Native Hawaiian or Other Pacific Islander; (5) White. The new standards require that race and ethnicity data are reported to IPEDS according to the following seven ethnicity and race categories: (1) Hispanic or Latino (of any race); (2) American Indian or Alaska Native; (3) Asian; (4) Black or African American; (5) Native Hawaiian or Other Pacific Islander; (6) White; (7) Two or more races.

5. Is the University required to report ethnicity and race data to other federal agencies?
Yes. The University of California, as a federal contractor, is required to maintain and analyze data on the gender, race and ethnicity of employees in compliance with the provision of Executive Order 11246 to the Office of Federal Contract Compliance Programs (OFCCP), as required under the Code of Federal Regulations, Title 41, Part 60-2.

6. Is the OFCCP making the use of the new standards mandatory for federal contractors?
No. In August 2008, OFCCP announced that it would not make mandatory the use of the new standards on the collection and reporting of race and ethnicity data for affirmative action programs. Therefore, the University will continue to meet its reporting responsibility to OFCCP based on the previous federal reporting guidelines. The race and ethnicity categories to be used are: (1) American Indian or Alaska Native; (2) Asian or Pacific Islander; (3) Black, Not Hispanic; (4) Hispanic; (5) White, Not Hispanic.

7. What are the changes made to the Demographic Data Transmittal Form (U5605)?
The form was divided into three separate sections identified by numbers. Section 1 collects the race and ethnicity information, which is broken down into two subsections: Section 1A collects the information as required by IPEDS and allows for multiple race and ethnicity selections and Section 1B preserves the collection of the information for OFCCP Affirmative Action program and reporting and allows for a single race and ethnicity selection. Section 2 collects disability information, and section 3 collects responses for individuals who wish to self-identify their veteran status.

8. Do all employees have to complete the Demographic Data Transmittal Form (U5605), including temporary employees and student employees?
Yes, all employees must be given the opportunity to respond to the race and ethnicity, disability status, and veteran status questions on the form. This includes permanent and temporary employees, academics and non-academics and students.
The only exceptions to this are people who are input as “Contingent Workers” and “Person of Interest” in HCM. They are distinguished with title codes that start with the letter “N” (e.g. “N3255”).

9. How do I know if staff member refused to answer the race question, rather than just overlooking it?
Presenting the data collection form to the respondent is sufficient to ensure that individuals have had the opportunity to respond to the race and ethnicity questions. It is not necessary to prompt the respondent to complete one or both questions if they have been left unanswered.

10. Can the University require employees to self-identify their ethnicity and race, or disclose their status as disabled individuals or veterans?
No. This information can only be requested.

11. Can employees update their own race/ethnicity in HCM?
UC Berkeley employees can use self-service in the Blu portal to update their race/ethnicity data. To access self-service, log into Blu. Find the “Self-Service” section on the left side of the screen and click on “Ethnic Groups.” A new window will pop up for the employee to input her/his race/ethnicity.

*Note: If the employee wants to change her/his disabled or veteran status, this cannot be changed using self-service. The employee should complete the US605 form and submit it to departmental HR for input into HCM.*

12. Who can I contact if I have further general questions?
Staff EEO Compliance
Human Resources
University of California, Berkeley
Email: staffeeo@berkeley.edu

For more Questions and Answers
Visit the following UCOP website [http://atyourservice.ucop.edu/administrators/docs/e_demographic/e_demograph-faq.pdf](http://atyourservice.ucop.edu/administrators/docs/e_demographic/e_demograph-faq.pdf).
Remember that implementation at UC Berkeley is different since we make entries via HCM rather than directly into PPS.
As a Federal contractor, the University of California is required to collect and report information regarding the ethnic and racial background of its employees (see reverse for Privacy Notification Statement). Please self-identify your ethnicity and race by completing Sections 1A and 1B of this form.

Additionally, to comply with Federal recordkeeping mandates, the University of California is required to monitor the number of its employees who have a disability or are protected veterans. Please self-identify your status as disabled individual and/or protected veteran by completing Section 2 and/or Section 3 of this form as applicable to you.

### 1. ETHNICITY AND RACE

Please complete Sections 1A and 1B below. The information must be collected in both sections in order for the University to comply with U.S. Department of Education requirements for the collection and reporting of ethnicity and race data as well as Affirmative Action program reporting requirements. The University of California will not be able to accurately report your information if both sections are not completed.

**A. Are you of Hispanic, Latino or Other Spanish origin?**
- ☐ YES
- ☐ NO

In addition, please select one or more of the racial categories that are applicable to you.

- ☐ American Indian or Alaska Native
- ☐ Asian
- ☐ Black/African American
- ☐ Native Hawaiian or Other Pacific Islander
- ☐ White

**B. For Affirmative Action program reporting, the University of California is required to provide only ONE race/ethnicity description for its employees. Please place an “X” in the box that best identifies the single option from Section 1B that you want us to report for you.**

- ☐ American Indian or Alaska Native
  - (C) – A person having origins in any of the original peoples of North and South America (including Central America) who maintains cultural identification through tribal affiliation or community attachment.

- ☐ Pakistani/East Indian
  - (R) – A person having origins in any of the original peoples of the Indian subcontinent (e.g., India and Pakistan).

- ☐ Black/African American (not of Hispanic origin)
  - (A) – A person having origins in any of the Black racial groups of Africa.

- ☐ Mexican/Mexican American/Chicano
  - (E) – A person of Mexican culture or origin regardless of race.

- ☐ Other Spanish/Spanish American
  - (W) – A person of Spanish culture or origin, not included in any of the Hispanic categories listed above.

- ☐ White (not of Hispanic origin)
  - (F) – A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

### 2. DISABILITY STATUS

Please place an “X” in the box below if you are an individual with a disability, otherwise please leave blank.

- ☐ INDIVIDUAL WITH A DISABILITY (H)
  
  An individual with a disability is a person who has a physical or mental impairment which substantially limits one or more of such person’s major life activities, or who has a record of such impairment.

All questions regarding ethnic, veterans, or disabled identification should be directed to the campus Equal Employment Opportunity/Affirmative Action Office.

RETN: Destroy after data entry pursuant to local procedures

SEE REVERSE FOR PRIVACY NOTIFICATIONS
3. VETERAN STATUS

Please place an "X" in each of the boxes below that apply to you (more than one category may be applicable). Leave blank if none apply.

☐ VIETNAM ERA VETERAN (V)

Vietnam Era Veteran means a person who:
1. Served on active duty for a period of more than 180 days, and was discharged or released therefrom with other than a dishonorable discharge, if any part of such active duty occurred: a. in the republic of Vietnam between February 28, 1961, and May 7, 1975; or b. between August 5, 1964, and May 7, 1975, in all other cases; or
2. Was discharged or released from active duty because of a service-connected disability, if any part of such active duty was performed: a. in the republic of Vietnam between February 28, 1961, and May 7, 1975; or b. between August 5, 1964, and May 7, 1975, in all other cases.

☐ WAR/CAMPAIGN/EXPEDITION VETERAN (E)

War/Campaign/Expedition Veteran means: A veteran who served on active duty in the U.S. military, ground, naval or air service during a war or in a campaign or expedition for which a campaign badge has been authorized. For a list of officially recognized campaigns, please visit the U.S. Office of Personnel Management website at http://opm.gov/StaffingPortal/vgmedal2.asp

☐ DISABLED VETERAN (S)

Disabled Veteran means:
1. A veteran of the U.S. military, ground, naval or air service who is entitled to compensation (or who but for the receipt of military retired pay would be entitled to compensation) under laws administered by the Secretary of Veterans Affairs; or
2. A person who was discharged or released from active duty because of a service-connected disability.

☐ ARMED FORCES SERVICE MEDAL VETERAN (M)

Armed Forces Service Medal Veteran means: A veteran who, while serving on active duty in the U.S. military, ground, naval or air service, participated in a United States military operation for which an Armed Forces service medal was awarded pursuant to Executive Order No. 12985. To identify the military operations that meet this criterion, check your DD Form 214, Certificate of Release or Discharge from Active Duty.

☐ RECENTLY SEPARATED VETERAN (MM, YY)

Any veteran during the three year period beginning on the date of such veteran’s discharge or release from active duty in the U.S. military, ground, naval or air service. Separation date: _____/_____/_____ (Month/Year)

FOR INTERNAL USE ONLY

NOTE TO ACCOUNTING OFFICE: DO NOT COPY OR DUPLICATE THIS FORM

DATE PREPARED (13-18)

ED

EDUCATION

ETHNIC

CODE (18)

VET

STAT (56)

DIS

VET (21)

DIS

EE (98)

VET

WAR (93)

HCNT

VET SEP DATE (26-27)

Y

Y

VET

MEDAL (38)

HERP

(29)

AMER

IND (30)

ASIAN

(31)

AFR

AMR

(32)

NAT

HAW

(33)

WHITE

(34)

PRIVACY NOTIFICATION STATEMENT (Revised February 22, 2010 for U5605)

The State of California Information Practices Act of 1977 requires the University to provide the following information to individuals who are asked to supply personal information about themselves.

1. The principal purpose for requesting the information on this form is to comply with the following Federal requirements: (i) Title VII of the Civil Rights Act of 1964, as amended; (ii) Executive Order 11246, as amended; (iii) Section 402 of the Vietnam Era Veterans Readjustment Assistance Act of 1974, as amended; (iv) Section 503 of the Rehabilitation Act of 1973, as amended; (v) Title IV of the Higher Education Act of 1965, as amended (20 USC 1094 (a) (17)); and (vi) Section 490 of the Higher Education Amendments of 1992 (PL. 102–325), as well as relevant implementing regulations.

2. The information supplied on this form is kept confidential. It is used for required aggregated workforce data reporting to the federal government and for internal workforce statistical analysis, reporting, and outreach. It will be given to government agencies responsible for civil rights laws only when requested, or as otherwise required by law. The aggregated workforce data serves as a tool to the administration of campus equal employment opportunity/affirmative action and human resources programs. The information supplied on this form will be used only as described.

3. Furnishing the information requested on this form is voluntary. There is no penalty for not completing the form.

4. Individuals have the right to review their own records in accordance with University personnel policies and collective bargaining agreements. Information on applicable policies and agreements can be obtained from campus or Office of the President human resources and academic personnel offices.

5. The University offices responsible for maintaining the information supplied on this form are the UC Human Resources Office and UC Academic Advancement Office, and campus Equal Employment Opportunity and Affirmative Action Offices.